**PATENT APPLICATION**

Attn: Docket No.: 6647-13

Serial No. _____

Applicant: Stephen R. Carter, Delos C. Jensen and Ronald P. Millett

Group: _____

Filing Date: July 13, 2000

**INFORMATION DISCLOSURE CITATION
FORM PTO-1449 (Modified)****U.S. PATENT DOCUMENTS**

<u>Exam Init</u>	<u>Ref</u>	<u>Document Number</u>	<u>Issue Date</u>	<u>Name</u>	<u>Class</u>	<u>Sub- Class</u>
		<u>5,317,507</u>	<u>5/1994</u>	<u>Gallant</u>	<u>707</u>	<u>532</u>
		<u>5,325,298</u>	<u>6/1994</u>	<u>Gallant</u>	<u>704</u>	<u>9</u>
		<u>5,694,523</u>	<u>12/1997</u>	<u>Wical</u>	<u>706</u>	<u>45</u>
		<u>5,940,821</u>	<u>8/1999</u>	<u>Wical</u>	<u>707</u>	<u>3</u>
		<u>5,970,490</u>	<u>10/1999</u>	<u>Morgenstern</u>	<u>707</u>	<u>10</u>
		<u>5,867,799</u>	<u>2/02/99</u>	<u>Lang, et al.</u>	<u>707</u>	<u>1</u>

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<u>Document Number</u>	<u>Publication Date</u>	<u>Country</u>	<u>Name</u>

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		<i>Applications of Functional Analysis and Operator Theory</i> , V. Hutson, J.S. Pym, 1980, table of contents, preface and index
		Latent Semantic Indexing is an Optimal Special Case of Multidimensional Scaling, Brian T. Bartell, Garrison W. Cottrell, Richard K. Belew, Pages 161-167, 1992; ACM 0-89791-524-0
		Improving Relevance Feedback in the Vector Space Model, Carol Lundquist, David A. Grossman, Ophir Frieder, 1997, Pages 16-23; ACM 0-89791-970-X
		A Multilevel Approach to Intelligent Information Filtering: Model, System, and Evaluation, J. Mostafa, S. Mukhopadhyay, W. Lam, M. Palakal, ACM Transactions On Information Systems, Vol. 15, No. 4, October 1997, Pages 368-399
		Capturing the State of Distributed Systems with XML, Rohit Khare and Adam Rifkin, 10/26/97, Pages 1-12



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_____	_____	Unifying Heterogeneous Information Models, Narinder Singh, Pages 37-44, Communications of the ACM, May 1998/Vol. 41, No. 5
_____	_____	Platform for Internet Content Selection (PICS), 1/3/98, http://www.w3.org/pics/
_____	_____	Intelligent Collaboration & Visualization, Pages 1-16
_____	_____	Noam Chomsky, "Language and Thought," 1993, pages 18-19, 22-27, 44-45, 60-61.
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_____	_____	Umberto Eco, Marco Santambrogio and Patrizia Violi (Editors), "Meaning and Mental Representations," 1988, page 221.
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_____	_____	John G. Hocking and Gail S. Young, "Topology," 1961, pages 6-7, 56-59, 68-71.
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_____	_____	David Pesetsky, "Zero Syntax Experiencers and Cascades," 1995, pages 1-122.

Examiner: _____

Date Considered: _____

PATENT APPLICATION

Atty. Docket No.: 6647-3
Applicant: Delos C. Jensen and Stephen R. Carter
Filing Date: February 25, 2000

Serial No. 09/512,963
Group: 2741

INFORMATION DISCLOSURE CITATION
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U.S. PATENT DOCUMENTS

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—	—	5,867,799	2-02-99	Lang, et al.	707	1

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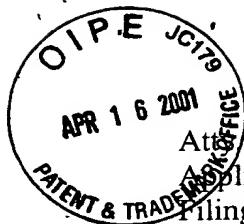
Group: 2741

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— — — Cognitive Science Laboratory at Princeton University, "WordNet - A Lexical Database for English," printed February 10, 2000, selected pages from website.

Examiner: _____

Date Considered: _____

**PATENT APPLICATION**

Attn Docket No.: 6647-15

Serial No.

09/653,713

Applicant: Stephen R. Carter and Delos C. Jensen

Group Art Unit:

Not yet assigned

**INFORMATION DISCLOSURE CITATION
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<u>Exam Init</u>	<u>Ref</u>	<u>Document Number</u>	<u>Issue Date</u>	<u>Name</u>	<u>Class</u>	<u>Sub- Class</u>
US		5,317,507	5/1994	Gallant	707	532
US		5,325,298	6/1994	Gallant	704	9
US		5,551,049	8/27/96	Kaplan, et al.	707	532
US		5,675,819	10/7/97	Schuetze	704	10
US		5,694,523	12/1997	Wical	706	45
US		5,721,897	2/24/98	Rubinstein	707	2
US		5,778,378	7/7/98	Rubin	707	103
US		5,822,731	10/13/98	Schultz	704	256
US		5,867,799	2/02/99	Lang, et al.	707	1
US		5,940,821	8/1999	Wical	707	3
US		5,966,686	10/12/99	Heidorn, et al.	704	9
US		5,970,490	10/1999	Morgenstern	707	10
US		5,974,412	10/26/99	Hazlehurst, et al.	707	3
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15 Latent Semantic Indexing is an Optimal Special Case of Multidimensional Scaling, Brian T. Bartell, Garrison W. Cottrell, Richard K. Belew, Pages 161-167, 1992; ACM 0-89791-524-0

15 Improving Relevance Feedback in the Vector Space Model, Carol Lundquist, David A. Grossman, Ophir Frieder, 1997, Pages 16-23; ACM 0-89791-970-X

15 A Multilevel Approach to Intelligent Information Filtering: Model, System, and Evaluation, J. Mostafa, S. Mukhopadhyay, W. Lam, M. Palakal, ACM Transactions On Information Systems, Vol. 15, No. 4, October 1997, Pages 368-399

15 Capturing the State of Distributed Systems with XML, Rohit Khare and Adam Rifkin, 10/26/97, Pages 1-12

15 Semantic Information Retrieval, Annelise Mark Pejtersen, Pages 90-92, Communications of the ACM, April 1998/Vol. 41, No. 5

15 Unifying Heterogeneous Information Models, Narinder Singh, Pages 37-44, Communications of the ACM, May 1998/Vol. 41, No. 5



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15 _____ George W. Smith, "Computers and Human Language," 1991,
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15 _____ Vivian Cook and Mark Newson, "Chomsky's Universal
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Examiner: James Springer

Date Considered: 09/23/04



PATENT APPLICATION

Atty. Docket No.: 6647-13
Applicant: Stephen R. Carter, Delos C. Jensen and Ronald P. Millett

INFORMATION DISCLOSURE CITATION
FORM PTO-1449 (Modified)

U.S. PATENT DOCUMENTS

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		George W. Smith, "Computers and Human Language," 1991, pages 204-257.
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		Noam Chomsky, "The Minimalist Program," 1995, pages 13-127.
		David Pesetsky, "Zero Syntax Experiencers and Cascades," 1995, pages 1-122.

Examiner: _____

Date Considered: _____

FORM PTO-1449		APR 18 2001	ATTY. DOCKET 0971-084	SERIAL NO. 09/109,804		
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT		APPLICANT TRADEMARKS SEARCH	Carter, et al.	GROUP 2741-2747		
Exam. Init.	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	
		APR 18 2001	RECEIVED			
		Technology Center 2100		DEC 09 1998	RECEIVED	
Group 2700						
FOREIGN PATENT DOCUMENTS						
	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	
OTHER ART (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)						
J.T.	C1	<i>Applications of Functional Analysis and Operator Theory</i> , V. Hutson, J. S. Pym, 1980, table of contents, preface and index				
J.T.	C2	Latent Semantic Indexing is an Optimal Special Case of Multidimensional Scaling, Brian T. Bartell, Garrison W. Cottrell, Richard K. Belew, Pages 161-167, 1992; ACM 0-89791-524-0				
J.T.	C3	Improving Relevance Feedback in the Vector Space Model, Carol Lundquist, David A. Grossman, Ophir Frieder, 1997, Pages 16-23; ACM 0-89791-970-X				
J.T.	C4	A Multilevel Approach to Intelligent Information Filtering: Model, System, and Evaluation, J. Mostafa, S. Mukhopadhyay, W. Lam, M. Palakal, ACM Transactions on Information Systems, Vol. 15, No. 4, October 1997, Pages 368-399				
J.T.	C5	Capturing the State of Distributed Systems with XML, Rohit Khare and Adam Rifkin, 10/26/97, Pages 1-12				
J.T.	C6	Semantic Information Retrieval, Annelise Mark Pejtersen, Pages 90-92, Communications of the ACM, April 1998/Vol 41. No. 4				
J.T.	C7	Unifying Heterogeneous Information Models, Narinder Singh, Pages 37-44, Communications of the ACM, May 1998/Vol. 41, No. 5				
J.T.	C8	Platform for Internet Content Selection (PICS), 1/3/98, http://www.w3.org/pics/				
J.T.	C9	Intelligent Collaboration & Visualization, Pages 1-16				

EXAMINER DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

JOSEPH THOMAS

12/3/99

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to the Assistant Commissioner of Patents, Washington, D.C. 20231, this 3rd day of December, 1998.

Roxanne Fields

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PATENT APPLICATION

Atty. Docket No.: 6647-15
Applicant: Stephen R. Carter and Delos C. Jensen
Filing Date: September 5, 2000

Serial No. 09/653,713
Group: 2152

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LS		6,311,194 B1	10/30/01	Sheth, et al.	707	505

FOREIGN PATENT DOCUMENTS

Document <u>Number</u>	Publication <u>Date</u>	Country	Name

OTHER DOCUMENTS

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Examiner: Humont Sprower

Date Considered: 9/23/04

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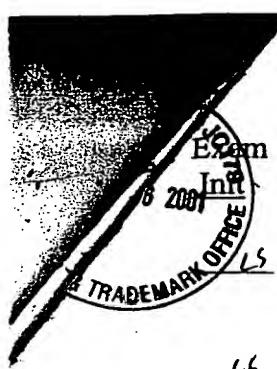
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Examiner: Janet Sporer

Date Considered: 9/23/04



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65 Cognitive Science Laboratory at Princeton University,
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<http://www.w3.org/pics/>

65 Intelligent Collaboration & Visualization, Pages 1-16

Examiner: Jenna S. Springer

Date Considered: 09/23/04

OTHER DOCUMENTS

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15 _____ Unifying Heterogeneous Information Models, Narinder Singh,

Docket No.: 6647-15

Serial No.

09/653,713

Applicant: Stephen R. Carter and Delos C. Jensen

Group Art Unit:

Not yet assigned

Filing Date: September 5, 2000

**INFORMATION DISCLOSURE CITATION
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U.S. PATENT DOCUMENTS

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LS	—	5,317,507	5/1994	Gallant	707	532
LS	—	5,325,298	6/1994	Gallant	704	9
LS	—	5,551,049	8/27/96	Kaplan, et al.	707	532
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LS	—	5,694,523	12/1997	Wical	706	45
LS	—	5,721,897	2/24/98	Rubinstein	707	2
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LS	—	5,970,490	10/1999	Morgenstern	707	10
LS	—	5,974,412	10/26/99	Hazlehurst, et al.	707	3
LS	—	5,991,713	11/23/99	Unger, et al.	704	9

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Filing Date: September 5, 2000

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LS	—	6,311,194 B1	10/30/01	Sheth, et al.	707	505

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Examiner: Almon F. Sporer

Date Considered: 9/23/04

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Applicant: Stephen R. Carter and Delos C. Jensen
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Examiner: Thierry Spooner

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Examiner: Julian P. Spooner

Date Considered: 9/23/02